OMB APPROVAL NO. 1205-0233

UNEMPLOYMENT INSURANCE SERVICE-
SURVEY TO DETERMINE DATA AVAILABILITY
FOR UNEMPLOYMENT INSURANCE (UI)
BENEFITS QUALITY CONTROL
PROGRAM

State_____

Date_____

Completed by:_____

_____

Prepared by:

Unemployment Insurance Service

Office of Quality Control

INSTRUCTIONS FOR COMPLETING SURVEY:

The QC program will build upon the existing Random Audit (RA)
Program currently operational in forty six (46) States. The QC
program will extend beyond RA in many areas. New data elements will
be added to those currently collected in RA. Information for the QC
benefits portion includes elements for use in research and
longitudinal studies. The QC program will eventually encompass the
entire UI process including the UI revenue (Tax) program. A major
effort to automate as much of the QC functions and data elements as
possible will be made.

The QC program plans to provide microcomputers to every State. The
equipment provided is intended to interface with existing State
mainframe computer files in almost any situation. Although more
information will be collected in QC than in RA, much of the data may
be available from existing State computer files. The plan is to
telecommunicate as much of this information to QC files on the Micro
as possible, thereby reducing the resources needed to manually
compile the data.

Our objective is to ensure that the initial ADP parameters for the
UI QC project allow for the physical and operational limitations of
the State/SESA environment. In order to determine the potential
impact on each State, we are seeking your response to this survey
regarding two areas of the QC program proposal.

Throughout the survey reference is made to the "Key Week." This term
is identical to that used in the RA program and refers to the week
randomly selected for investigation.

The survey consists of two sections.

SECTION I: Are the QC data elements being considered readily
available from existing automated files?

To help you answer the above question enclosed is a list of
some of the proposed UI Benefits QC data elements for which
we would like to gather information. There are four columns
opposite each data element, one for each of the following
four criteria.

A. NOT AVAILABLE/APPLICABLE - if the data element is not
available or not applicable to your State indicate the
fact by marking an "X" on the line in column I opposite
each element that is not available or not applicable.

B. STORAGE MEDIUM - if the element is available in your
State, how is it currently maintained (i.e., disk, tape,
etc). Enter one of the following codes on the line in
column II (Storage Medium) provided for each element. If
two codes apply, enter lowest code (numeric value)
applicable.

1 = On-Line   5 = Not machine
2 = Disk (off-line)   readable (in CO)
3 = Tape   6 = Not Machine Readable (in LO)
4 = Card   7 = Archives

C. DATA RETENTION PERIOD - On the line in column III (Data
Retention Period) provided for each element indicate the
usual length of time, in months, the data element is
maintained in your system from the time the element was
originally collected. This will assist us with some
elements for longitudinal studies from the claimant's
benefit/wage history that are shown in the document as
involving data over XX months.

D. DATA SIMILARITY - On the line in column IV (Data
Similarity) for each element, enter one of the following
codes. This information will indicate to what degree the
data can be provided automatically.

1 = element currently coded as defined by QC in attached
data document.

2 = element currently coded but not as defined by QC.
(please attach a copy of your State's coding format)

3 = not applicable, data element not collected.

<u>SECTION II</u>: Will the microcomputer interface with your ADP
configuration with minimal technical modification?

   To identify any interface issues, we are enclosing questions
   for certain specifications concerning your existing ADP
   configuration/capabilities.

PROPOSED QUALITY CONTROL DATA ELEMENTS

(THE ELEMENTS ARE NUMBERED TO CORRESPOND WITH THE PROPOSED QC
BENEFITS DATA COLLECTION INSTRUMENT (DCI) - VERSION III. NUMBERS IN
PARENTHESES CORRESPOND TO CURRENTLY COLLECTED RANDOM AUDIT ELEMENTS.
IF THERE IS NO NUMBERED PARENTHESES, THE DATA ELEMENT IS NEW. THERE
ARE GAPS IN THE NUMBERING SCHEMES BECAUSE ONLY THE ELEMENTS
REASONABLY EXPECTED TO EXIST IN CURRENT FILES HAVE BEEN INCLUDED IN
THIS SURVEY.)

Column I = DATA NOT AVAILABLE/ APPLICABLE	Column II = STORAGE MEDIUM	Column III = DATA RETENTION PERIOD	Column IV = DATA SIMILARITY

*** RECORD TYPE ONE ***
PART I -- CONTROL INFORMATION

	Col. I	Col.II	Col.III	Col.IV
4.(4) Compensable Week Ending Date : Key Week (KW) (YYMMDD)	___	___	___	___
5.(6) Local Office Number: Where key week (KW) claim was filed. 4 Digits	___	___	___	___

PART II --CLAIMANT INFORMATION

1.(31) Date of Birth: Year and Month	___	___	___	___
2.(32) Sex: 1 = Male 2 = Female 8 = not available	___	___	___	___

3.(33) Ethnic Classification:
      1 = White, not Hispanic
      2 = Black, not Hispanic
      3 = Hispanic
      4 = American Indian or Alaskan
          Native
      5 = Asian or Pacific Islander
      6 = Other
      8 = not available
	___	___	___	___

4.(34) U.S. Citizen:
      1 = Yes
      2 = No - Legal Alien
      3 = No - Illegal Alien
      8 = not available
	___	___	___	___

9.(47) Primary Occupation Code: Major occupational group (DOT) code for claimant's usual occupation. 3 Digits	___	___	___	___

Column I = DATA NOT AVAILABLE/ APPLICABLE	Column II = STORAGE MEDIUM	Column III = DATA RETENTION PERIOD	Column IV = DATA SIMILARITY

14. <u>Marital Status</u>: At time of filing KW.
     1 = Never Married
     2 = Married - Spouse working
     3 = Married - Spouse not working
     4 = Divorced
     5 = Separated
     6 = Widowed
     8 = not available

16. <u>Number of Dependents</u>:
     2 Digits

PART III -- CLAIM INFORMATION

1.(5) <u>Original Amount Paid (Offset)</u>
<u>for Key Week (KW)</u> 3 Digits

2.(7) <u>Program Code</u>:
     1 = UI
     2 = UI-UCFE
     3 = UI-UCX
     4 = UI-UCFE-UCX
     5 = UCFE
     6 = UCFE-UCX
     7 = UCX
     8 = Other .

3.(22) <u>Combined Wage Claim</u>:
     1 = Yes
     2 = No

4.(18) <u>Benefit Year Beginning</u>:
     (YMMDD).

6. <u>First Compensable Week Ending</u>
<u>Date</u>: (YMMDD).

7. <u>Date Paid - First Payment</u>: (YMMDD).

11. <u>Number of ERPs Held</u>: In the
claimant's current benefit year.
   2 Digits

12. <u>Last ERP Date</u>: (YMMDD)
     8 = not available
     9 = not applicable

13. <u>Number of New or Additional</u>
<u>Claims in last XX months</u>: Include
the KW. Exclude EB and FSC.
   2 Digits

Column I = DATA NOT AVAILABLE/ APPLICABLE	Column II = STORAGE MEDIUM	Column III = DATA RETENTION PERIOD	Column IV = DATA SIMILARITY

PART IV -- MONETARY ELIGIBILITY

1. (21) <u>Number of Base Period Employers</u>:
   Include all subject employers if they
   could effect monetary determination.
   <u>2</u> Digits

2. (10) <u>Base Period Wages</u>:   Include
   all State defined wages that effect
   monetary determination. <u>6</u> Digits

3. (48) <u>Industry Code (SIC)</u>: For the
   primary base period employer
   <u>4</u> Digits (8 = not available)

5. <u>High Quarter Earnings</u>: dollar amount
   in current Base Period, if available in
   state file, (i.e. required for monetary).
   (zero if NA)   <u>5</u> Digits

6. <u>Weeks Worked in Base Period</u>:   if
   available in state file (i.e. required
   for monetary). Enter 9 if not recorded.
   <u>2</u> Digits

7. (11) <u>Weekly Benefit Amount
   (WBA)</u>: maximum WBA possible for claimant
   based on monetary at time original payment
   for key week was made. Exclude dependents'
   allowance, pension reductions, or
   earnings. <u>3</u> Digits

8. (12) <u>Maximum Benefit Amount (MBA)</u>:
   maximum amount, based on monetary at time
   original payment for key-week was made.
   Disregard any EB or FSC,dependents'
   allowances, and pension deductions.
   <u>4</u> Digits

9. <u>Monetary Redetermination</u>:
   if redetermined.
       1 = Yes
       2 = No
       9 = NA

10. (19) <u>Remaining Balance
    As of KW Claim</u>: Enter zero if exhausted.
        <u>4</u> Digits

Column I =	Column II =	Column III =	Column IV =
DATA NOT AVAILABLE/ APPLICABLE	STORAGE MEDIUM	DATA RETENTION PERIOD	DATA SIMILARITY

PART V -- SEPARATION INFORMATION

NOTE: In this Part the last employer is the employer, as defined by State law, whose reason for separating the claimant could affect eligibility for Key Week (KW) benefits.

	Col.I	Col.II	Col.III	Col.IV
1. Date of Separation from Last Employer: (YMMDD) __5__ Digits	___	___	___	___
2.(17) Reason for Separation: code based on agency record from last employer prior to most recent new or additional claim. 1 = Lack of Work 2 = Voluntary Quit 3 = Discharge 4 = Labor Dispute 5 = Other 6 = Not separated	___	___	___	___
5. Tax Rate for Last Employer: last separating employer's UI tax rate when claimant's monetary was issued. __3__ Digits	___	___	___	___
11. Number of Prior Separation Issues: issued during current Benefit Year (past XX Months).__2__ Digits	___	___	___	___
12. Number of Prior Disqualifying Separations: during current Benefit Year (past XX months)__2__ Digits	___	___	___	___

PART VI --DURATION

	Col.I	Col.II	Col.III	Col.IV
1.(16) Effective Date of Most Recent New/Additional Claim: (not reopened) (YMMDD). If KW occurs in a transitional claim, enter effective date of most recent additional claim in prior benefit year.	___	___	___	___
2.(15) Effective Date (of KW) within a Transitional Claim: 1 = Yes KW paid/ offset, continuing a series (spell) of claims beginning in prior year into current year, KW occurred in current benefit year. 2 = No (If KW occurs due to add'l claim which breaks transitional series).	___	___	___	___

3. Number of Weeks Claimed in Current
   Series (Spell): includes waiting weeks, pended
   weeks, disqualified weeks (if filed for),
   partial, part-total weeks, and weeks paid.
    2 Digits

4. Number of Weeks Paid in Current
   Claim Series (Spell): 2 Digits

5. Number of Weeks in Current Series (Spell)
   with Deductible Income: whether deducted
   or not, of any amount. 2 Digits

6. Number of Weeks Claimed in Last
   XX Months: Includes waiting weeks,
   pended weeks, disqualified weeks
   (if filed for), part total, partial,
   and weeks paid.   2 Digits

7. Number of Weeks Paid in Last XX Months:
   Paid to claimant during last XX months.
    3 Digits

8. Number of Weeks in Last XX Months
   with Earnings: Claimed during last
   XX months that had earnings. 3 Digits

9.(20) Number of Periods of Compensated
   UI in Prior XX Months (INCLUDING KEY WEEK):
   Periods resulting from filing of a new or
   additional claim. Exclude periods resulting
   from transitional or re-open claims.
   Count period which began before XX months
   but whose end occurs within the XX months.
   Include UCFE, UCX.
   9= not available   2 Digits

PART VII -- ADJUSTMENTS TO MONETARY AWARD

2.(14) Pension Deduction: Actual amount
   deducted from WBA. 0 = not applicable or
   was not reported. 9 = not available
    3 Digits

4.(26) Earnings Deduction: Amount
   deducted from WBA due to earnings.
   Also include deduction of vacation
   and/or holiday pay. 9 = no earnings
   deduction.   3   Digits

PART VIII -- JOB SERVICE/UNION REGISTRATION

4. (62) <u>Actively/Currently Registered</u>
   <u>with Job Service as of KW</u>: 1 = YES
   claimant could be referred to job by
   JS during key week. 2 = NO referral
   could not have occurred. 8 = INA
   9 = NA

PART IX -- WORK SEARCH EFFORTS/ELIGIBILITY

7. <u>Number of Nonseparation Issues (Prior to KW)</u>:
   (past XX Months). includes both formal
   and informal determinations.
   <u>2</u> Digits

8. <u>Number of Nonseparation Issues (Prior to KW)</u>
   <u>That Were Disqualifying</u>: (past XX months)
   <u>2</u> Digits

PART X -- OVERPAYMENT/UNDERPAYMENT HISTORY

1. (24) <u>Weeks of Overpayments Already</u>
   <u>Established Past XX Months</u>: recoverable
   or nonrecoverable overpayments/voided
   offsets <u>already established by agency</u>
   in prior XX months preceding beginning
   date of KW. Include UI, UCFE, and UCX
   8 = unknown, zero if none. <u>3</u> Digits

2. (25) <u>Amount of Prior Overpayments (OP)</u>
   <u>in Past XX Months</u>: total dollar amount
   for weeks (overpayment/voided offsets)
   in item 1. Leave 8 if item 1 = 8.
   zero if item 1 = zero. <u>6</u> Digits

3. <u>Weeks of Prior Fraud</u>: weeks of fraud
   overpayments/voided offsets <u>already</u>
   <u>established by the agency</u>, prior XX
   months preceding beginning date of KW
   (UI, UCFE, and UCX) 8 = weeks unknown
   0 = none established. <u>3</u> Digits

4. <u>Prior Fraud Dollar OP</u>: dollars for
   established fraud weeks in above item 3.
   Exclude amounts due to interest or penalty.
   8 = if item 3 is 8, 0 = if item 3 is 0.
   <u>6</u> Digits

THE FOLLOWING RECORDS (TYPES TWO AND THREE) WILL BE COLLECTED FOR
LONGITUDINAL STUDIES. THESE DATA ELEMENTS WILL BE COLLECTED OVER TIME
FOR EACH CLAIMANT SELECTED FOR QUALITY CONTROL.

*** RECORD TYPE TWO ***
(each quarter from wage files)

2. Year/Quarter of Wages: in which wages
   were reported, (i.e. calendar year 1984
   - 1st Quarter = 841). __3__ Digits   _____   _____   _____   _____

3. Amount of Wages Reported By Employer:
   amount reported by employer as paid/earned
   by individual for quarter. __5__ Digits _____   _____   _____   _____

4. Number of Weeks Worked Reported
   by Employer: that claimant worked in
   quarter. (if readily available in state
   file, i.e.required for monetary) 9 = weeks
   not recorded.__2__ Digits   _____   _____   _____   _____

5. Standard Industrial Classification Code:
   (SIC) for employer. 8 = INA __4__ Digits _____   _____   _____   _____

7. Federal Employer Identification Number:
   (FEIN) for employer. __6__ Digits   _____   _____   _____   _____

8. State Employer Account Number:
   Number for employer. _____Digits   _____   _____   _____   _____

9. Quarterly Tax Rate: quarterly UI tax rate
   in effect this quarter. __3_ Digits   _____   _____   _____   _____

*** RECORD TYPE THREE ***
(each week for all claimants selected by QC)

2. Week Ending Date for Week Claimed:
   (YYMMDD) __6_ Digits   _____   _____   _____   _____

3. Type of Week Claimed: one of the
   following, code from appropriate column
   depending on whether claim is paid or pended.

	Paid	Pended
Waiting week	11	21
First payment	12	22
Regular week	13	23
Partial week (earnings)	14	24
Part total	15	25
Final payment	16	26
Offset (for overpayment)	17	
Offset (other, ie support)	18	

_____   _____   _____   _____

Column I = DATA NOT AVAILABLE/ APPLICABLE	Column II = STORAGE MEDIUM	Column III = DATA RETENTION PERIOD	Column IV = DATA SIMILARITY

—

4. Date Paid: YYMMDD 0 = if week is
pended, not paid. __6__ Digits

5. Amount Paid and/or Offset:
  0 = week is pended, not paid.
  __3__ Digits

6. Program Code in Effect at Time Week
was Claimed:
     1 = UI   2 = UI-UCFE
     3 = UI-UCX   4 = UI-UCFE-UCX
     5 = UCFE   6 = UCFE-UCX
     7 = UCX   8 = Other

7. Duration Code:
     1 = Regular duration
     2 = Extended Benefits
     3 = Other Federal Extended Programs

8. Filing Status:
     1 = Intrastate
     2 = Interstate

9. Combined Wage Claim: is claim for
week is a combined wage claim.
   1 = Yes   2 = No

10. Deductible Income for Week: whole
dollar amount. __4__ Digits

11. Pension for Week: amount deducted
for Week. __3__ Digits

12. Offset Amount: amount offset taken
for week. __3__ Digits

13. Adjustment Indicator: whether or not
payment for week has been adjusted.
    1 = Payment adjusted
    2 = Payment not adjusted

SECTION II

(NOTE: If your agency is currently planning an ADP conversion, please answer the following questions based on the equipment that will be in place as of April 1985.)

A. System hardware:

1)   Please specify the type of mainframe you have _____

2)   If more than one type of computer, then which one contains the Unemployment Insurance data. Please specify _____

_____

3)   Is the computer in a State centralized environment i.e. not under direct control of the Employment Security/Labor Dept?

_____ YES   _____ NO

B. System software:

1)   What operating system(s) are supported? (e.g. VOS)

Please specify _____

2)   What languages are supported?

____ PL/1   ____ FORTRAN 77, ____ FORTRAN IV, ____ COBOL 81,

____ Pascal, ____ C

____ Other, please specify _____

_____

3)   What statistical packages do you have?

____ SAS, ____ SPSS, ____ BMDP

____ Other, please specify _____

What data base packages do you have?

____ CICS, ____ Adabase, ____ Focus, ____ Nomad

____ Other, please specify _____

C. Communication hardware:

1) Dial up terminal connection, using a modem and telephone lines, to a time sharing system? _____ YES _____ NO

2) Dial up terminal connection, using a modem and telephone lines, to a State owned mainframe? _____ YES _____ NO

3) Hard wired terminal connection, without modem or phone lines, to a State owned mainframe? _____ YES _____ NO

If you have hard wired connection, that is, you answered 'YES' to question #3, please answer questions 4 & 5 then skip to question 10.

4) What type of connection is used between your terminal and mainframe?
_____ Serial (RS 232) _____ Parallel _____ IBM coaxial cable

_____ Other _____

5) What type of terminal is used by the Quality Control (or Random Audit) office to access the UI data? Please specify

manufacturer and model number _____

If you have dial up access, that is, you answered 'YES' to questions #1 or 2, please answer questions 6 thru 11.

6) 1 a) Do have any <u>modems</u> attached to your system?

_____ YES _____ NO

If YES, please specify make and model(s) _____

_____

_____

b) What type(s) of modem protocol(s) are supported?

_____ Synchronous _____ Asynchronous

_____ Other, please specify_____

7 a) What baud rates does your modem support?

_____ 300   _____ 1200   _____ 2400

_____ Other, please specify _____

  b) How is the baud rate selected? (eg. On some machines, auto
     baud rate selection is accomplished by the operator hitting the
     carriage return twice at the remote terminal, whereas on some
     others, a particular character acts as the switch character.)

_____ Different telephone numbers for different baud rates

_____

_____ Manual switch on the modem _____

_____ Software selectable (see eg. above). Please explain

_____

_____

_____ Other, please explain _____

_____

_____

8) Does your system have a time-out feature? (i.e. The system
    hangs up if there is no activity on line for a certain period
    of time.)   _____ YES   _____ NO .

    If YES, please specify how long _____

9 a) How many telephone lines do you have?

    Number of telephone lines _____

    (If lines have different baud rate, please specify number of

    lines for each baud rate.) _____

  b) Are your lines on a rotary? (i.e. If a line is busy is the next
     available line selected?)
              _____ YES   _____ NO

10) Data transmission format.

a) Parity

____ Even

____ Odd

____ Mark

____ Space

____ Ignored

b) Data bits

____ 6

____ 7

____ 8

____ 9

____ Other _____

c) XON/XOFF support

____ YES

____ NO

d) Stop bits

____ 0 (zero)

____ 1

____ 2

____ Other ____

e) Duplex

____ Half

____ Full

f) Does your system support auto line feed.

____ YES

____ NO

11) What character(s) terminates the record or line?

____ CR   ____ CR & LF

____ Other _____

D. Communication software:

1) What terminal types are supported?

   ____ TTY   ____ VT100

   ____ VT52   ____ IBM 3101

   ____ IBM 327X, please specify _____

   ____ Other, please specify _____

   _____

2) Is there a limit on the size of a record transmitted or received by your computer? ____ YES (specify) ____ NO

   ____ 80   ____ 132   ____ 255

   ____ Other, please specify _____

3) File transfer protocol.

   a) Do you support any file transfer protocol?

      ____ YES   ____ NO

      If YES: ____   Kermit (Public domain file transfer protocol
                           by Colombia University.)

                 ____   IBM, please specify _____

                 ____   Other, please specify _____

      _____

   b) Is this an error free protocol? (i.e. In case of transmission error does this protocol attempt to retransmit the information?)

      ____ YES   ____ NO

4) What type of character set(s) is(are) supported?

   ____ ASCII

   ____ EBCDIC

   ____ Other, please specify _____

If you have any additional information and/or comments please use the space below.

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Completed by (Please print) _____, phone #(   )   -